

FORM PTO-1449 (modified)  
To: U.S. Department of Commerce  
(PW FORM PAT-1449)  
Patent and Trademark Office

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Dkt. No.

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Client R. f.

0306031

T4KM-03S0447

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Applicant: Tooru SUGIYAMA et al.

Appln. No.: UNASSIGNED

Filing Date: September 22, 2003

Examiner: UNKNOWN

Group Art Unit: UNKNOWN

Date: September 22, 2003

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of

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## U.S. PATENT DOCUMENTS

| Examiner's<br>Initials* |    | Document<br>Number | Date<br>MM/YYYY | Name<br>(Family Name of First Inventor) | Class | Sub<br>Class | Filing<br>Date<br>(if appropriate) |
|-------------------------|----|--------------------|-----------------|---|-------|--------------|------------------------------------|
| SP                      | AR | 4,807,954          | 02/1989         | Oyamada et al.                          |       |              |                                    |
| SP                      | BR | 5,332,690          | 07/1994         | Cho et al.                              |       |              |                                    |
| SP                      | CR | 5,677,920          | 10/1997         | Waarts et al.                           |       |              |                                    |
| SP                      | DR | 5,696,865          | 12/1997         | Beeson et al.                           |       |              |                                    |
| SP                      | ER | 5,902,033          | 05/1999         | Levis et al.                            |       |              |                                    |
| SP                      | FR | 6,139,156          | 10/2000         | Okamori et al.                          |       |              |                                    |
|                         | GR |                    |                 |   |       |              |                                    |
|                         | HR |                    |                 |   |       |              |                                    |
|                         | IR |                    |                 |   |       |              |                                    |
|                         | JR |                    |                 |   |       |              |                                    |
|                         | KR |                    |                 |   |       |              |                                    |
|                         | LR |                    |                 |   |       |              |                                    |
|                         | MR |                    |                 |   |       |              |                                    |
|                         | NR |                    |                 |   |       |              |                                    |

## FOREIGN PATENT DOCUMENTS

|    |    | Document<br>Number | Date<br>MM/YYYY | Country | Inventor Name | English<br>Abstract |    | Translation<br>Readily<br>Available |    |
|----|----|--------------------|-----------------|---------|---------------|---------------------|----|-------------------------------------|----|
|    |    |                    |                 |         |               | Enclosed            | No | Endose                              | No |
| SP | OR | 2002-267861        | 09/2002         | Japan   | Sugiyama      | X                   |    |                                     | X  |
|    | PR |                    |                 |         |               |                     |    |                                     |    |
|    | QR |                    |                 |         |               |                     |    |                                     |    |
|    | RR |                    |                 |         |               |                     |    |                                     |    |
|    | SR |                    |                 |         |               |                     |    |                                     |    |
|    | TR |                    |                 |         |               |                     |    |                                     |    |
|    | UR |                    |                 |         |               |                     |    |                                     |    |
|    | VR |                    |                 |         |               |                     |    |                                     |    |
|    | WR |                    |                 |         |               |                     |    |                                     |    |
|    | XR |                    |                 |         |               |                     |    |                                     |    |

## OTHER (including in this order Author, Title, Periodical Name, Date, Pertinent Pages, etc.)

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| SP | YR  | Wenger et al, "Design and Fabrication of Monolithic Optical Spot Size Transformers (MOST's) for Highly Efficient Fiber-Chip Coupling," 8217 Journal of Lightwave Technology, October 12, 1994, No. 10, pages 1782-1790 |  |  |  |  |  |  |  |
|    | ZR  |  |  |  |  |  |  |  |  |
|    | AAR |  |  |  |  |  |  |  |  |
|    | BBR |  |  |  |  |  |  |  |  |

Examiner

/Sung Pak/

Date Considered:

09/19/2006

\*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

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| Atty.<br>Dkt. No. | M#             | Client Ref.  |
|                   | 008312-0306031 | T4KM-03S0447 |

**INFORMATION DISCLOSURE STATEMENT  
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Applicant: Tooru SUGIYAMA et al.

Appln. No.: 10/665,437

Filing Date: September 22, 2003

Examiner: UNKNOWN Group Art Unit: 2828

Date: December 6, 2005

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| Examiner's<br>Initials* | Document<br>Number | Date<br>MM/YYYY | Name<br>(Family Name of First Inventor) | Class | Sub<br>Class | Filing<br>Date<br>(if appropriate) |
|-------------------------|--------------------|-----------------|---|-------|--------------|------------------------------------|
|                         | AR                 |                 |   |       |              |                                    |
|                         | BR                 |                 |   |       |              |                                    |
|                         | CR                 |                 |   |       |              |                                    |
|                         | DR                 |                 |   |       |              |                                    |
|                         | ER                 |                 |   |       |              |                                    |
|                         | FR                 |                 |   |       |              |                                    |
|                         | GR                 |                 |   |       |              |                                    |
|                         | HR                 |                 |   |       |              |                                    |
|                         | IR                 |                 |   |       |              |                                    |
|                         | JR                 |                 |   |       |              |                                    |
|                         | KR                 |                 |   |       |              |                                    |
|                         | LR                 |                 |   |       |              |                                    |
|                         | MR                 |                 |   |       |              |                                    |
|                         | NR                 |                 |   |       |              |                                    |

**FOREIGN PATENT DOCUMENTS**

|    |    | Document<br>Number | Date<br>MM/YYYY | Country | Inventor Name | English<br>Abstract |    | Translation<br>Readily<br>Available |    |
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|    |    |                    |                 |         |               | Enclosed            | No | Enclose                             | No |
| SP | OR | JP 2001-291922     | 10/2001         | Japan   | Kondo et al.  | x                   |    |                                     | X  |
|    | PR |                    |                 |         |               |                     |    |                                     |    |
|    | QR |                    |                 |         |               |                     |    |                                     |    |
|    | RR |                    |                 |         |               |                     |    |                                     |    |
|    | SR |                    |                 |         |               |                     |    |                                     |    |
|    | TR |                    |                 |         |               |                     |    |                                     |    |
|    | UR |                    |                 |         |               |                     |    |                                     |    |
|    | VR |                    |                 |         |               |                     |    |                                     |    |
|    | WR |                    |                 |         |               |                     |    |                                     |    |
|    | XR |                    |                 |         |               |                     |    |                                     |    |

**OTHER (Including in this order Author, Title, Periodical Name, Date, Pertinent Pages, etc.)**

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| SP | YR  | Japanese Office Action dated November 8, 2005 for Appln. No. 2002-347506 |  |  |  |
|    | ZR  |  |  |  |  |
|    | AAR |  |  |  |  |
|    | BBR |  |  |  |  |

Examiner /Sung Pak/ Date Considered: 09/19/2006

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